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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q76956

Shinya WATANABE, et al.

Appln. No.: 10/648,276

Group Art Unit: 2811

Confirmation No.: 4435

Examiner: Jennifer M. DOLAN

Filed: August 27, 2003

For: SEMICONDUCTOR CHIP HAVING AN ARRAYED WAVEGUIDE GRATING AND
METHOD OF MANUFACTURING THE SEMICONDUCTOR CHIP AND MODULE
CONTAINING THE SEMICONDUCTOR CHIP

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby
notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached
PTO/SB/08 A & B (modified) form and listed herein and which the Examiner may deem
material to patentability of the claims of the above-identified application.

1. U.S. Patent No. 5,926,586, published July 20, 1999.
2. Japanese Laid-Open Patent Application Publication No. 2001-21743, published
January 26, 2001.
3. Japanese Unexamined Patent Application Publication No. H08-190028, published
July 23, 1996.

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4. Japanese Unexamined Patent Application Publication No. H09-197150, published

July 31, 1997.

5. Japanese Unexamined Patent Application Publication No. H10-96831, published

April 14, 1998.

6. U.S. Patent No. 5,919,383, published July 6, 1999.

7. U.S. Patent No. 5,952,725, published September 14, 1999.

One copy of each of the listed documents, other than any U.S. patents and patent publications, is submitted herewith, together with a Canadian Office Action dated May 7, 2004 issued in the corresponding Canadian Patent Application which cites references 6-7.

The present Information Disclosure Statement is being filed after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution in the application (whichever is earlier), and therefore Applicant is filing concurrently herewith a Statement Under 37 C.F.R. § 1.97(e). No fee under 37 C.F.R. § 1.17(p) is required.

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant encloses herewith a copy of a corresponding Japanese Office Action dated June 1, 2004 and an English translation of the pertinent portions thereof which cites such documents and indicates the degree of relevance found by the foreign patent office.

INFORMATION DISCLOSURE STATEMENT
U.S. Appln. No.: 10/648,276

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

Respectfully submitted,



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WASHINGTON OFFICE
23373
CUSTOMER NUMBER

Date: August 31, 2004



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STATEMENT UNDER 37 C.F.R. § 1.97(e)

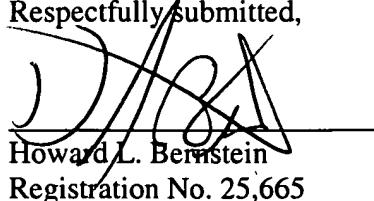
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The undersigned hereby states, upon information and belief:

That each item of information contained in the Information Disclosure Statement filed concurrently herewith was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of said Information Disclosure Statement.

Respectfully submitted,


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Substitute for Form 1449 A & B/PTO		<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number	10/648,276
		Confirmation Number	4435
		Filing Date	August 27, 2003
		First Named Inventor	Shinya WATANABE
		Art Unit	2811
		Examiner Name	Jennifer M. DOALN
Sheet	1	of	1
		Attorney Docket Number	O76956

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

NON PATENT LITERATURE DOCUMENTS

Examiner Signature _____ **Date Considered** _____

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kind Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to indicate here if English language Translation is attached.